

QUESTIONS AND ANSWERS

1. Q: Who is the current provider of services and what is the current pricing?

A: **Preferred Data, Inc. is the current provider. The unit price is \$ 0.97 per application.**
2. Q: What is the location of the current PO Box? How many pick-ups per day? What is the frequency of the pick-up?

A: **The PO Box is located in Albany. The frequency of pick-up in NYC to Albany is rare. Perhaps three times a year, during heavy filing periods.**
3. Q: What is the reason for the pick-ups from 25 Beaver Street? Are applications and checks mailed to UCS? If so, how much mail is received each day? Is a daily pick-up necessary? Can the pick-ups be reserved for only when an examination is given?

A: **People send in directly to our office. Only if the numbers are unmanageable, will we send them to lockbox vendor for processing. Daily pick-up is not necessary, since most applicants mail their applications directly to Albany.**
4. Q: Is it required that both the application and check have identical sequence #'s?

A: **No.**
5. Q: Is a daily file permitted as opposed to weekly?

A: **Yes.**
6. Q: Please advise if, under New York State law, a Federal Savings Bank can be awarded the business that is the subject of this RFB?

A: **The Office of Court Administration, to the best of its knowledge, is not aware of any restrictions under NYS law affecting a Federal Savings Bank's ability to bid on our solicitations or be awarded a contract.**

7. Q: Can you provide monthly volumes for work received by the current lockbox provider?
- A: **Highly variable. We may go as long as 4 to 6 months without an Open-Competitive exam. At other times it may be up to two thousand in a month. We have two exams - Court Officer and Court Assistant, for which filing is in the tens of thousands. But these exams are held only once every 4 years. We have just held a Court Officer exam this Fall, and will close filing for the Court Assistant exam this Spring, before the expiration of the current lockbox contract.**
8. Q: For applications received without a check (where payment is not required) does the lockbox provider just return them to UCS? Or will the provider be required to data key the application information?
- A: **These are promotion applications which should be forwarded to our office in NYC unprocessed.**
9. Q: For applications received without a check, where payment is required, will the lockbox provider be required to data key the application information or simply return the application to UCS?
- A: **Just return application to UCS.**
10. Q: Is the Application for Open-Competitive Examination provided in appendix D, the only document from which data keying is required? If not, can UCS provide copies of any additional documents?
- A: **It is the only document from which data is key entered.**
11. Q: UCS indicates on page 12 of the RFB that cash is not accepted. Our standard practice is to purchase a money order with any cash received and process the item. Would this be acceptable to UCS if the amount received is correct?
- A: **This rarely happens, but yes, it could be done, provided there is no fee other than the standard processing fee.**

12. Q: USC states on page 13, #3 of the RFB that the provider must occasionally pick-up mail from UCS at 25 Beaver Street, NY. How will the provider be notified a pick-up is required if this is not a daily requirement? What time of day are the pick-ups made?
- A: **We would notify by calling contact person in your organization. Anytime during regular business hours (9AM to 5PM).**
13. Q: UCS states on page 13, #7 of the RFB that the provider must deliver all completed applications and related documents to the UCS. Can UCS provide additional details: Is this done via courier or overnight mail? Where is the package delivered? What is the required delivery time of the package?
- A: **Overnight mail.
Our office at 25 Beaver Street.
Overnight delivery.**
14. Q: Can you provide a copy of your existing lockbox processing instructions?
- A: **Appendix F of the RFB.**
15. Q: Are there any sort requirements (i.e. items/payments that need to be batched separately)?
- A: **Yes, the sort should be by *Paid, Waived or UCS employee* (also waived).**
16. Q: UCS states in Appendix F that if a single check is received with multiple applications, the items should be returned to UCS without being processed/deposited. Can the lockbox provider process a single application received with multiple checks, if the checks equal the appropriate amount?
- A: **Yes.**
17. Q: What percentage of applications/payments are received in which the check or money order is in the incorrect amount?
- A: **Less than 1%.**
18. Q: What percentage of your payments are returned to NSF?
- A: **Perhaps 2% to 3%.**

19. Q: Do you currently send any payments to the lockbox from your office?
- A: **Yes, when OC applicants mistakenly send their applications and payments to our NYC office.**
20. Q: If FTP is the chosen method for the transmission of the data file, what file transfer security options do you support?
- A: **SFTP**
21. Q: Would UCS be open to receiving a daily transmission of the application data as opposed to a weekly transmission?
- A: **Yes.**
22. Q: Aside from the header record, is the only other record in the file layout, the application detail? Will you require the check detail, i.e. check number, remitter's account number, etc?
- A: **No.**
23. Q: Is the information provided on the header record (cycle, exam type, exam number, total number of records) provided for each application processed or only on a header?
- A: **Only on the Header.**
24. Q: Will the file require any dollar amounts, i.e. per application or total amount?
- A: **Total Amount.**
25. Q: Can UCS provide a copy of a file dump?
- A: **The dump is created by our own Department of Technology (DoT) after receiving the data from the lockbox processor. It contains only those fields contained in the application.**

26. Q: Can UCS provide copies of the reports referred to on page 15 under “Contractor’s Responsibilities? Periodic and summary activity reports; final roster of examination applicants.
- A: **Both periodic and final list the number of batches processed, and the batch numbers. Also they break down the number of applicants process by fee category: *Paid, UCS Employee, or Waived.* The final report has the total number of applicants for that examination.**
27. Q: Would UCS be interested in image services for the applications and payments?
- A: **Not at this time.**
28. Q: If interested in image services, would UCS want images sent via a transmission or would UCS consider the use of an on-line image browser?
- A: N/A
29. Q: Appendix E provides the Exam Schedule for 2006-7 and it appears that all exams offered during 2006 are promotional. Is this correct and if so, does that mean the provide would not begin any processing of payments until Spring 2007?
- A: **It is possible that we might have a small OC exam in the Fall of 2006. But most likely, we’ll be testing OC in the Spring of 2007.**
30. Q: Document Enclosure Checklist: Copies of resumes/diplomas/certifications required. Please confirm that biographies for the personnel assigned to the relationship are acceptable vs. Copies of actual resumes and diplomas.
- A: **Confirmed.**
31. Q: Subcontracting:
- a. Would a bonded messenger or courier service hired by the Bank to pick up work/money orders from 25 Beaver Street be acceptable; i.e. a sub-contractor for the messenger service only?
- A: a. **No. We will use overnight mail.**

- Q: b. Do you expect the cost of the messenger service (pick up and delivery) to be included within the bundled price per application?
- A: b. **We will not use messenger.**
32. Q: Basic Services Required:
- a. Point 4.3: Assign identical numbers in sequence to both the application and fee for reconciliation purposes. Would it be acceptable if each batch be assigned a number between 1 and 45, or are the numbers continuous between 1 and 10,000 throughout the year?
- A: a. **For each test cycle (i.e. date), use discrete batch numbers.**
- b. Point 4.7 on page 13 of the RFB states that the UCS would like to receive original applications and “related documents” back. Does this include photo-copies of the money orders/checks?
- A: b. **No.**
- c. How often would you like the original work to be delivered to your office?
- A: c. **Once per week during the filing period.**
33. Q: Contractor’s responsibilities: Please provide an example of the format you would like to receive for the “final roster of examination applications”. How is the final roster currently sent to you?
- A: **The information is sent as a file for our DoT, after they receive an electronic transmission from our lockbox vendor.**
34. Q: Appendix F: Guidelines for Processing Applications:
One of the requirements under the criteria for Applications which should NOT be processed states “applications that indicate that they are being paid, but have a “check of MO in the wrong amount”. Please advise how the bank would know if the amount is incorrect. There seem to be exceptions to the standard filing fee for current employees, unemployed applicants, and/or persons receiving Supplemental Social Security Payments, Public Assistance, etc.
- A: **Filing fee is the same for all Open-competitive exams. It is currently set at \$25 per application. If the fee changes, it will change for ALL exams at the same time.**

35. Q: How do you envision contract negotiations taking place? Would you like us to attach all of the relevant agreements to the RFB response or will negotiations take place after the award of the business?
- A: **Negotiations will take place after an award has been made. Please send only the documents required in the General Specifications and Documents Enclosure Checklist.**
36. Q: Do you expect the cost of maintaining an account and on-line electronic banking services to view activity to be included in the bundled price?
- A: **We are not asking for the ability to view on-line our account. If provided, it must be absorbed by the cost per application unit price.**
37. Q: What other electronic banking services are you looking for and how do you plan on disbursing funds from the bank account? By wire and/or check? May we assume these charges and volumes will be discussed at a later date?
- A: **This outside the scope of the RFB.**
38. Q: What level of balances are maintained in the account?
- A: **Varies from filing period to filing period. Balance is minimal.**
39. Q: Is the OCA interested in pursuing an image lockbox? If so, would images of the applications and money orders be acceptable vs. sending the original documentation back to OCA?
- A: **Not interested at this time.**